



NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

THESIS

**WHAT TYPE OF STATE HOMELAND SECURITY
STRATEGY SHOULD THE STATE OF NEW JERSEY
DEVELOP?**

by

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September 2007

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**WHAT TYPE OF STATE HOMELAND SECURITY STRATEGY SHOULD THE
STATE OF NEW JERSEY DEVELOP?**

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ABSTRACT

The State of New Jersey does not have a written homeland security strategy. This thesis argued that New Jersey should have a strategy. The author has reviewed the reasons why New Jersey does not have a state strategy. Based on preliminary work, any justifications are no longer supportable. Beyond that, the thesis described the elements that should be in that strategy. A by-product of the thesis was a homeland security strategy template that can be used by other states. As per the methodology, existing state strategies were reviewed and compared against national criteria for an acceptable strategy. New Jersey must create a strategy with a strong foundation, similar to the National Strategy for Homeland Security, which at the same time contains clear and concise goals, objectives, and activities, commonly found in conventional business plans. Based on that review the author recommended that New Jersey create a homeland security strategy similar to the National Capital Region Homeland Security Strategic Plan. Further, New Jersey should construct this strategy using the Government Accountability Office (GAO) report which identified six desirable characteristics that should appear in (national) homeland security strategies as a guide.

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I. INTRODUCTION

Whatever failures I have known, whatever errors I have committed, whatever follies I have witnessed in private and public life have been the consequence of action without thought.

-- Bernard Baruch, stock broker, advisor to Presidents Woodrow Wilson and Harry S. Truman, (1870-1965).

The State of New Jersey does not have a written homeland security strategy. The purpose of the thesis is to argue that New Jersey should have a strategy. Beyond that, the thesis will also describe the elements that should be in that strategy. A by-product of the thesis will be a homeland security strategy template that can be used by other states. I will review the reasons why New Jersey does not have a state strategy. Based on my preliminary work, any justifications are no longer supportable. I will review existing state strategies and compare them against national criteria for an acceptable strategy. I will construct a model state strategy, based on that review, and then illustrate how the model can be used by the State of New Jersey.

A. PROBLEM

The State of New Jersey presently does not have a written state homeland security strategy. A well-defined, comprehensive homeland security strategic plan is essential for assuring that New Jersey is prepared for the risks it faces, whether those risks are from nature or human action.¹ The creation of a strategy is a complex problem. All of the pieces necessary to create a relevant plan exist. They are just not in sync. Homeland security in the New Jersey is disjointed. The existence of such a strategy is vital for State, county, and local agencies to create and manage plans for prevention, response, and recovery efforts related to terrorist attacks or natural emergencies and operate in unison with one another. The Director of the State Office of Emergency Management (OEM) is hopeful that if New Jersey publishes a homeland security strategy, that strategy

¹ William O. Jenkins, Jr. Homeland Security. *Assessment of the National Capital Region Strategic Plan*. (Washington D.C: GAO, 2006), 1.

would act as the impetus behind the creation of strategic plans in other State agencies as well as county and local agencies and partners in the private sector. A top-down approach to the creation of homeland security strategies would insure that county and local jurisdictions created their own strategies using guidance contained in a state strategy and should improve communication and cooperation between these jurisdictions while assisting in the achievement of common goals. The flowchart in Figure 1 illustrates the flow related to the creation of strategies.

During a February 2006 meeting between the State Director of the Office of Emergency Management and the funding coordinator for the State Office of Homeland Security and Preparedness (OSHP), attendees were in agreement that the lack of a published state homeland security strategy inhibited New Jersey's efforts to obtain funding for all proposed projects. The existence of a plan is also a key element when applying for federal grant assistance.² New Jersey received \$14.1 million dollars from the fiscal year 2007 Homeland Security Grant Program award. Nationally, DHS awarded \$509.25 million dollars from this program. The Homeland Security Urban Area Security Initiative (UASI) awards brought an additional \$36.07 million dollars to the urban areas in northern New Jersey that make up the State's UASI. There was a total of \$746.9 million dollars available to 45 UASI regions. This total of over \$1.2 billion dollars of funding was disseminated based on a DHS formula that looks at threat, population density, economic impact and infrastructure in determining need. The application process is perhaps the best way for an applicant to display need. In the State of New Jersey, there is no coordination between the OHSP and the 479 county and local police departments and emergency management offices during the preparation of the annual Department of Homeland Security (DHS) grant applications. DHS guidelines state that States and Urban Area Strategies must serve as the guiding direction for all grant programs in the HSGP.³ This passage leads the reader to believe that if a State applied for funding from a

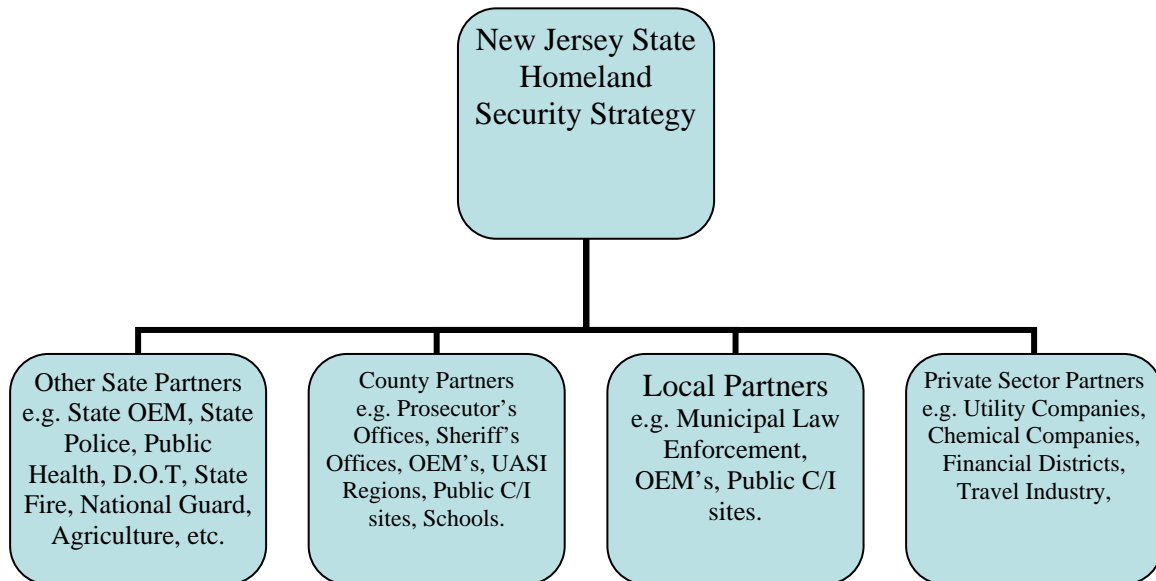
² President. Homeland Security Presidential Directive (HSPD 8). National Preparedness. (Washington, D.C.: Government Printing Office, 2003).

³ U.S. Department of Homeland Security. Fiscal Year 2005 Homeland Security Grant Program. (Washington D.C.: DHS, 2005), 22. <http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf>. (accessed August 31, 2007).

DHS grant, then that state is automatically assumed to have an active state homeland security strategy. The State of New Jersey did apply for and received funding based on submissions that were made to DHS. These submissions were not based on any overarching state homeland security strategy and hence it is possible that if DHS discovers that New Jersey does not have a state homeland security strategy, it could refuse or substantially limit funding in the future. In the past the OHSP created individual homeland security initiatives and based their funding requests on them. Continuance of this policy is not practical because DHS requires that a state strategy be in place during the application process. The funding coordinator for the OHSP noted during a meeting in November, 2006 that if the State of New Jersey did not have a strategy in place, and if the funding requests were not aligned directly with the goals of that strategy, New Jersey risked a dramatic decrease in the amount of funding for the 2007 grant period, which he acknowledged translates into a decrease in programs developed to insure public safety.

The problem is not just that the state does not have a homeland security strategy. The state must also determine what type of strategy to create.

Figure 1. Top-down Strategic Plan Development



1. How Should New Jersey's Homeland Security Strategy be Created?

Since New Jersey does not have a state homeland security strategy, a template must be created that will ensure all important factors are taken into consideration. New Jersey should base its decision as to which type of state strategy is most relevant to its needs by comparing existing state and federal homeland security strategies with the six desirable characteristics identified by the United States General Accounting Office (GAO) in 2004. GAO has suggested that these six characteristics should be present in the development of homeland security strategies.⁴ The six characteristics they identified were: Purpose, scope, and methodology; Problem definition and risk assessment; Goals, subordinate objectives, activities, and performance measures; Resources, investments, and risk management; Organizational roles, responsibilities, and coordination; and Integration and implementation.

⁴ Randall Yim, *Combating Terrorism: Evaluation of Selected Characteristics in National Strategies Related to Terrorism*. (Washington D.C.: GAO, 2004), 5.

In addition to the six GAO criteria, this thesis will review strategic planning best practices in the private sector to identify elements of a strategic plan that must be included in any successful plan.

2. What is the Present State of the State?

As already mentioned, the State of New Jersey does not have a published state homeland security strategy. In November of 2006, the author was instructed by the OHSP Grants Coordinator and the Director of OEM to create the first strategy. During the course of creating this strategy, the author was shown a draft strategy created by a member of OHSP. It consisted of three PowerPoint slides that contained a mission statement and a military Mission Essential Task List (METL).⁵ There were no goals, objectives or any other items closely related to a strategy.

3. What is the Major Hurdle that the State Must Overcome to Create and Implement a Homeland Security Strategy?

The authority of the government of the State of New Jersey only exists to the extent the county and local jurisdictions are willing to extend decision-making rights to the State.

New Jersey is a *Home Rule* state, meaning that the State Constitution, Legislature or both grants power to municipal governments to organize them to carry out a range of governmental activities under their own authority, and to preserve health, safety and general welfare.

Article IV, Section VII (11) of our New Jersey Constitution guarantees that:

The provisions of this Constitution and of any law concerning municipal corporations formed for local government, or concerning counties, shall be liberally construed in their favor. The powers of counties and such municipal corporations shall include not only those granted in express

⁵ A METL is derived from the military unit's wartime missions and related tasks. It is not a strategy. It is a list of important things and delegated tasks that a unit must accomplish in order to be successful.

terms but also those of necessary or fair implication, or incident to the powers expressly conferred, or essential thereto, and not inconsistent with or prohibited by this Constitution or by law.⁶

And the Home Rule Act of 1917 N.J.S.A. 40:42 *et. seq.* offers the following protection:

In construing the provisions of this subtitle, all courts shall construe the same most favorably to municipalities, it being the intention to give all municipalities to which this subtitle applies the fullest and most complete powers possible over the internal affairs of such municipalities for local self-government.⁷

The state is very conscious of the rights of local and county jurisdictions to maintain their governmental functions as they see fit. The local and county jurisdictions are constantly battling the State, as well as each other when it comes to any initiatives they feel interfere with their Home Rule rights. The State Office of the Attorney General has traditionally declined to impose their will upon the county and local jurisdictions regarding homeland security. The author of this strategy believes that the collective approach to create a state homeland security strategy will provide the individual jurisdictions with the ability to have input in its creation, afford them the individuality afforded them by law while at the same time, providing for the common mission and optimum integration.

B. HYPOTHESIS

The most effective strategy type for the State of New Jersey to develop is a combination of a conventional business strategic plan and a comprehensive strategy comparable to that of the National Strategy for Homeland Security. This esoteric strategy must be developed by representatives identified by OHSP as the key homeland security and emergency management stakeholders in New Jersey. A stellar example of such an effort is found in the National Capital Region (NCR) Homeland Security Strategic Plan.

⁶ New Jersey State Constitution, Article IV, Section VII (II).

⁷ Home Rule Act of 1917. N.J.S.A. 40:42, <http://www.njslon.org/homerule.html> (accessed May 1, 2007).

A strategy modeled after the NCR Plan will provide a strong foundation from which to continually create and modify goals and objectives. It can be made specific enough that it presents the reader with an understanding of what needs to be accomplished, answers the question of why it needs to be accomplished, and assigns ownership for responsibility for completion. Additionally, it is broad enough to allow the affected agencies the ability to meet the stated objectives by creating their own initiatives. The resemblance to a conventional business plan will enable affected agencies to closely track the progress of the plan, close out initiatives once they have been achieved, and create new objectives in the ever-changing world. A hybrid, combining the best qualities of each strategy type, will meet the standards of the DHS and provide the most efficient and effective plan for the security of the citizens. This hypothesis will be supported by conducting comparative analysis of existing state homeland security strategies to the six GAO characteristics. The reason for selecting this specific GAO report is based on its utility as a useful tool in determining the strengths and weaknesses of homeland security strategies.

C. METHODOLOGY

The initial step taken by this thesis to develop a model homeland security strategy will be to conduct a comprehensive content analysis of existing national and state homeland security strategies as well as non-governmental literature related to conventional business planning using the resources of the Naval Postgraduate School's Homeland Security Digital Library, State homeland security websites, and the Center for Homeland Defense and Security (CHDS) student responses. National strategies will also be reviewed to insure integration with national efforts. Based on the review of these strategies, this thesis will identify homeland security elements that are relevant to the concerns of the State of New Jersey.

After completing the analysis of the research, the next step will be to develop a template that will compare existing strategy types to determine which parts of each represent the best course of action for the creation of not only a New Jersey Strategy as well as allied partner strategies as well. This step will use the GAO report on desirable

characteristics in homeland security strategies to determine which elements of these strategies would be useful in the creation of the New Jersey homeland security strategy.

D. REVIEW OF RELEVANT LITERATURE

Research on this subject has shown that the federal government, as well as many state governments and non-governmental organizations, believe in the utility of creating long-term strategies. Many of the state strategic plans reviewed during research revealed that conventional business plans are favored. The common theme in organizations that favor this type of plan seems to be that they have strong foundations and are seeking to fill gaps in these foundations with initiatives. Homeland security is a fledgling science. Most governmental jurisdictions, if not all did not have a strong foundation in homeland security. Therefore, a conventional strategic plan, laden with initiatives would have no base from which to improve upon. If New Jersey adopts a strategy such as the National Strategy, and augments it with elements of a conventional strategic plan that would allow the plan to be updated to reflect changes in priorities, it could serve as a model for future states to use in the preparation of their plans.

According to John Argenti, author and founder of the *Strategic Planning Society*, a plan is a list of actions arranged in whatever sequence is thought likely to achieve an objective.⁸ A leader can not hope to carry out an assigned mission without taking into account an analysis of what might occur in the future. In order for a business or a public agency to grow, there must be a strategic plan in place that addresses how that business or agency intends to grow and face the challenges of tomorrow. Strategic planning is meant to clearly define the purpose of an organization, establishing realistic goals and objectives that are consistent with a defined mission within a specific time frame. Strategic planning provides a standard to measure the progress of an organization. A strategic plan is not meant to delineate the day to day operations of an organization. A strategic plan fills gaps or addresses shortcomings in existing policy and provides a

mechanism for improvement. The United States Army defines strategic planning as the ability to significantly influence the performance of the organization and its ability to compete in the coming three to ten years.⁹

Prior to the attacks on September 11, 2001, the United States did not have a strategy that addressed homeland security concerns. In the State of New Jersey alone there were dozens of state, county, and local emergency management plans. A review of each state and county plan reveals that they were all grounded in addressing the concerns of preparation, response, and recovery. Most, if not all of the funding provided for the States emergency management initiatives were for preparedness, recovery, and response, not for *prevention*. Since 2001, the United States has published seven national strategies aimed at *prevention*, preparation, response, and recovery.¹⁰ Among those strategies is the National Strategy for Homeland Security.

The creation of a National Strategy for Homeland Security provided guidance for federal and state governmental agencies in the aftermath of the attacks on September 11, 2001. The stated intention of the National Strategy was to answer four basic questions:¹¹

1. What is “homeland security” and what missions does it entail?
2. What do we seek to accomplish, and what are the most important goals of homeland security?
3. What is the federal executive branch doing now to accomplish these goals and what should it do in the future?
4. What should non-federal governments, the private sector, and citizens do to help secure the homeland?

8 Kristina Davis, “Proper Planning for Emergency Planning”. Canadian Forces Personnel Support Agency. http://www.cfpsa.com/en/corporate/services/media/apropos/volume2/issue2/planning_e.asp. (accessed August 31, 2007).

9 The United States Army. *Strategic Planning Course*. (North Little Rock: P.E.C., 2005), 8.

10 The seven strategies prepared since the attacks on September 11 are National Security Strategy of the United States of America, the National Strategy for Homeland Security, the National Strategy for Combating Terrorism, the National Strategy to Combat Weapons of Mass Destruction, the National Strategy for the Physical Protection of Critical Infrastructure, the National Strategy to Secure Cyberspace, and the 2002 National Money Laundering Strategy.

11 President, The National Strategy for Homeland Security. *Preface*. (Washington D.C.: The Government Printing Office, 2002).

The National Strategy accomplishes its stated objectives. Homeland security, as defined by the National Strategy is a *concerted national effort* to *prevent terrorist attacks* within the United States, *reduce America's vulnerability* to terrorism, and *minimize the damage* and *recover* from attacks that do occur. The italicized words in the definition are explained in detail in the National Strategy. Critical Mission Areas are also contained in the National Strategy as well as detail descriptions as to what each mission entails. They are Intelligence and Warning, Border and Transportation Security, Domestic Counterterrorism, Protecting Critical Infrastructure and Key Assets, Defending against Catastrophic Threats, and Emergency Preparedness and Response.¹²

The intended outcome of the Strategy and important goals are clearly defined and concise. The Strategy seeks to prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur.¹³ These objectives are drawn out of the definition of homeland security. Goals are contained within the text of each Critical Mission Area as well as the listed Foundations of Homeland Security.¹⁴

The Strategy offers the President's proposed Department of Homeland Security several times in key areas as the answer to solving policy and operational concerns. The Strategy further describes major initiatives to be undertaken by specific government entities in the Foundations.

Lastly, the Strategy reminds all Americans of our key role in the war on terrorism. It details programs such as the Citizen's Corps., the Volunteer's in Police Service, the Neighborhood Watch Program, the Medical Reserve Corps, and the Terrorism Information and Prevention System (TIPS). The Strategy also recognizes and encourages the ability of the private sector to develop innovative technologies.

Since the publication of the National Strategy, several states have created their own what is homeland security, what do we seek to accomplish, what are the most

¹² President, The National Strategy for Homeland Security. *Preface*. (Washington D.C.: The Government Printing Office, 2002).15-45.

¹³ Ibid, 2.

¹⁴ Ibid, 47-61.

important goals State Homeland Security Strategies. The California Homeland Security Strategy, published in March, 2005 draws its strategic objectives and Critical Mission Areas directly from the National Strategy.¹⁵ The California Strategy fails to answer (or even ask) the questions addressed in the National Strategy, specifically “of homeland security, what is the State of California doing now to accomplish these goals and what should it do in the future?”¹⁶ There are some goals contained in the California Strategy for the State to accomplish. It lays out guidance on how the State can utilize the private sector and citizens to help secure the homeland. This strategy does place responsibility for certain elements of homeland security on specific State agencies, but there are no provisions that create strategies to bridge the gap between stated policy and operations. This strategy does explain what agencies and plans exist to fight the war on terror, but does little to assign goals or objectives to these agencies.

The California Strategy does assign some responsibility to certain state agencies, particularly the State Terrorism Threat Assessment Center (STTAC), the California Emergency Medical Services Authority (AUSA), and the Department of Health Services (DHS). It is however not an original document. It contains many of the elements of the National Strategy, but does not provide detail on how most of the objectives should be attained. Like the National Strategy, there is no follow-up to the California Strategy and no provisions built into the strategy that allow for periodic supplementation. None of the stated objectives were measurable in this strategy either.

The State of Mississippi approaches their strategic needs much differently than California’s and the Nation’s attempt. Their plan starts out with mission, purpose, vision, and focus statements. The bulk of the strategy is formatted in what would be considered in the business world as a conventional strategic plan.¹⁷ A total of eleven goals are

¹⁵ In fact, they are identical to the six Critical Mission Areas (CMA) of the National Strategy, but unlike the National Strategy the California Strategy’s CMA do not contain goals. Arnold Schwartzenegger, *The California Homeland Security Strategy*. (Sacramento: Office of the Governor, 2005), 3-5.

¹⁶ President. *The National Strategy for Homeland Security*.

¹⁷ The Hoshin Handbook provides templates for plan examples. This template does not provide for narratives such as the ones found in the National Strategy. Instead, it recommends concise sentences or very short paragraphs aimed at describing guidance for achieving objectives. Pete Babich, *Hoshin Handbook (Second Edition)*. (Poway: Total Quality Engineering Inc., 1996), 88-115.

stated. Each goal has corresponding objectives aimed at helping achieve the goal. The strategy does not answer, nor does it attempt to answer any questions the way the National Strategy does. It appears to have been created as a result of a S.W.O.T. analysis.¹⁸ The strategy leaves little doubt as to the required objectives necessary to achieve the goals. In fact, the plan is in great detail. One important aspect of this plan that is missing is a timeline on the achievement of goals. Goals and corresponding objectives in a strategic plan should follow the acronym S.M.A.R.T.¹⁹ The “T” stands for time-bound. Without holding the responsible party to a timeline, objectives run the risk of either never being met or being late. For example, the third goal states “To maintain and increase the State, regional and local Terrorism Early Warning System, Intelligence and Information Sharing program by the creation of the State Intelligence Fusion Center and enhance existing Homeland Security Information/Intelligence capabilities.”²⁰ There are eight corresponding objectives that are very detailed. However, there is no timeline. Creating a fusion center may be a priority for the person to whom this task is delegated. Unfortunately, without a timeline from an established authority, other non-interested parties who are in support positions may place this project behind other ones they designate to be more important.

The National Capitol Region (NCR) Homeland Security Strategy appears to be a hybrid of the National Strategy and the Mississippi Strategy. According to the GAO, the NCR succeeded in its efforts to address all six characteristics GAO considers to be desirable for a regional homeland security strategy.²¹ The GAO finds limited room for

18 S.W.O.T. stands for Strengths, Weaknesses, Opportunities, Threats. A S.W.O.T. analysis is often done when determining what goals and corresponding objectives need to be developed in order to fill “gaps” in day to day operations. C. Davis-Fogg, *Team Based Strategic Planning*. (New York: American Management Association, 1994), 26-27.

19 S.M.A.R.T. stands for Specific, Measurable, Attainable, Relevant, and Time-bound. These are required elements of an objective. United States Army. *Strategic Planning Course*, 8.

20 In December 2004, the Homeland Security Advisory Council’s Intelligence and Information Sharing Working Group, chaired by Gov. Mitt Romney (R-Mass.), recommended that state-run intelligence fusion centers should be part of the nation’s information-sharing efforts. Alice Lipowicz. “Justice Issues: Fusion Center Guidelines”. Washington Technology. (August 30, 2005). http://www.washingtontechnology.com/news/1_1/daily_news/26893-1.html (accessed September 19, 2006).

21 Jenkins, Jr., *Assessment of the National Capitol Region Strategic Plan*, 2.

improvement in the NCR Strategic Plan. They provide suggestions for improvement in two specific areas. First, GAO claims that the NCR Plan does not reflect a comprehensive risk assessment for the region. Second, they make the observation that the NCR Plan has many objectives that contain language such as “strengthen,” “enhance,” “increase,” “improve,” and “expand” rather than more specific performance measures and targets.²² GAO also claims that the 12 objectives contained in the strategy are essential, but not sufficient to attain these goals.²³

Another example of a strategy that possesses the qualities of the National Strategy as well as elements of conventional strategic business plans and the Mississippi Strategy is the Texas Homeland Security Strategic Plan: 2005-2010. The Texas plan appears to have been created similarly to the NCR plan. The plan has clear goals and objectives that, as its title states, will carry the agenda of the state to 2010. Its risk assessment describes threats to homeland security such as terrorism and natural disasters, but does not draw a distinction between them. The Texas plan is committed to an all-hazards approach to homeland security that addresses threats posed by natural and man-made hazards, because it regularly experiences impact of both types of hazards.²⁴

When completing a strategy it is important not to succumb to common pitfalls associated with strategic planning. Table 1 describes these pitfalls and how to avoid them. Review of this table will reveal that these pitfalls can be easily avoided by creating and following a plan and paying close attention to detail.²⁵

²² Jenkins, Jr., *Assessment of the National Capitol Region Strategic Plan*, 4.

²³ Ibid, 6.

²⁴ Rick Perry. *Texas Homeland Security Strategic Plan: 2005-2010*. (Austin : Office of the Governor, 2005), 14.

²⁵ The premise of the pitfall table is taken from the United States Army Strategic Planning Course. Experiences of the author in strategic planning have been added.

Table 1. Strategic Planning Pitfalls

	Problem	Solution
Pitfall 1	A mission statement with elements so broad and general it could apply to other agencies	The mission statement must be organic to the organization. Keeping in mind that the mission statement answers the question “Why do <u>we</u> exist” will keep it focused.
Pitfall 2	General goals and objectives that delineate day-to-day operations rather than bridging the gap between policy and operations	Identify the operations that need the attention of an initiative and keep the initiative tightly focused
Pitfall 3	Neglecting to solicit input from stakeholders	Make a list of stakeholders and meet with them to express the importance of their input
Pitfall 4	Lack of buy-in by the organization or target audience	Make certain that the completed plan is accessible to all of those concerned
Pitfall 5	Inadequate analysis of external factors	Some planners fail to adequately assess external factors because they feel they have no control over them. Successful planners find ways to influence outside factors
Pitfall 6	Major management problems are not addressed prior to completing the plan	Management problems can negatively affect the implementation of a plan. These problems must be mitigated prior to implementation
Pitfall 7	Bottom up planning rather than top down planning	Assemble the stakeholder group including the leaders of the project first
Pitfall 8	Improper or no training	Poorly trained planners submit poorly prepared reports. Provide some type of guidance to the stakeholders to provide structural guidance to them prior to the planning meetings

The literature review has shown that of the existing federal and State homeland security strategy types, those that provide strong foundations, contain clear, concise and attainable goals and objectives, possess the ability to be amended as necessary, and comply with the GAO’s six desirable characteristics meet the needs of New Jersey’s first homeland security strategy.

E. SPECIFIC RESEARCH OBJECTIVES

The objectives of this thesis will be to enhance the State's ability to position itself strategically to link its homeland security vision and resources with the needs of the citizens of New Jersey. Long-term, the State can expect greater coordination between state and local authorities in New Jersey. In addition, other state, local, and county agencies will be able to use the strategy as a guide and template when preparing their own strategies. Creating and maintaining a strategy will translate into increased efficiency and effectiveness in service to the public.

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II. STRATEGY COMPARISONS

The GAO has suggested six desirable characteristics they claim should be present in all homeland security strategies. Table 2 below shows those six characteristics and compares six homeland security strategies to determine if they address, partially address, or do not address their six characteristics. From this table, we will select an option or options that meet New Jersey's needs for creation of a state strategy. This table was taken from the GAO Report on Combating Terrorism.²⁶

Table 2. Strategy Comparisons

Strategy Title	Purpose, Scope and methodology	Problem definition and risk assessment	Goals, subordinate objectives, activities, and performance measures	Resources, investments, and risk management	Organizational roles, responsibilities, and coordination	Integration and implantation
National Strategy	Addresses	Addresses	Partially addresses	Partially addresses	Addresses	Partially addresses
Texas	Addresses	Addresses	Addresses	Addresses	Addresses	Addresses
California	Addresses	Addresses	Partially addresses	Partially addresses	Addresses	Partially addresses
Mississippi	Partially addresses	Does not address	Addresses	Does not address	Does not address	Partially addresses
NCR	Addresses	Addresses	Addresses	Addresses	Addresses	Addresses
No plan	Does not Address	Does not address	Does not address	Does not address	Does not address	Does not address

A listed strategy addresses a characteristic when it explicitly cites all elements of that characteristic. A strategy partially addresses a characteristic when it explicitly cites some, but not all of the elements of that characteristic. A strategy does not address a characteristic when it does not explicitly cite or discuss any elements of a characteristic. See Appendix 1 for a description of the elements of each characteristic.²⁷

²⁶ Yim. *Evaluation of Selected Characteristics in National Strategies*, 4.

²⁷ Ibid, 4

Table 2 shows that the National Strategy for Homeland Security and the California Homeland Security Strategy either addresses or partially addresses the six GAO characteristics. Neither strategy sets performance measures, is constructed in a manner that would facilitate augmentation or revision, nor sets timelines to be followed. The Texas and the NCR Strategies address each of the six GAO characteristics. The Mississippi plan only addresses one characteristic. It partially addresses two, and does not address three. It does assign responsibilities and contains mandatory timelines or milestones. If it does fall short at all it is because it is a conventional business plan that was not created with a foundation such as the National Strategy. The status quo in New Jersey, that is no plan, fails to address any of the characteristics.

The Texas and NCR strategies are the only two strategies in the matrix that achieve “addresses” in each category. These strategies are the type of product that is suggested in the hypothesis chapter of this thesis which is combination of a conventional business strategic plan and a strategy such as the National Strategy for Homeland Security.

III. STRUCTURE OF THE STRATEGY

The New Jersey Homeland Security Strategy should be constructed utilizing as core elements the six desirable characteristics identified by the United States General Accounting Office (GAO) mentioned in Chapter 1 of this thesis. The six characteristics they identified were: (1) Purpose, scope, and methodology; (2) Problem definition and risk assessment; (3) Goals, subordinate objectives, activities, and performance measures; (4) Resources, investments, and risk management; (5) Organizational roles, responsibilities, and coordination; and (6) Integration and implementation.

A. PURPOSE, SCOPE, AND METHODOLOGY

1. Purpose

The purpose of a strategy should provide the reader with a very clear, strong, and convincing statement of why the plan is being developed. The purpose of the New Jersey State Homeland Security Strategy should be to provide a framework and guidance for the State of New Jersey's homeland security efforts to insure public safety, prevent, prepare for, and respond to terrorist events, natural disasters, and criminal activity. The plan should also provide guidance for state, county, and local agencies for development of their own plans. The strategic plan should be developed because a well-defined, comprehensive, living strategic plan is essential for assuring that the state is properly prepared for the challenges that lay ahead.²⁸

2. Scope

The scope of the strategy provides the reader with an idea of the extent, or reach of the strategy. It falls short of assigning specific responsibilities, but does explain the meaning of the strategy.

²⁸ National Capital Region Homeland Security Strategic Plan. (Washington D.C.: NCR, 2006).

Since this strategy is being created at a very high level within State government, all subordinate partners must know that all homeland security activities in New Jersey are integrated and moving toward a mutually beneficial, all-hazards/ all-crimes outcome. The plan should contain a definition of homeland security. A suggestion for that definition should be a derivative of the National Strategy, since New Jersey needs to integrate its strategy with the national effort. The New Jersey Strategy should define “homeland security” as “a concerted State effort to prevent terrorist attacks within NJ, reduce the state’s vulnerability to all-hazards events, and minimize the damage and recover from events that do occur.”

The scope should contain a timeframe relevant to the life of the strategy. For example, the state’s long-term homeland security strategic goals should extend out for the next three to five years.

Although the initiatives, goals, objectives, activities, and performance measures will be addressed in detail in the appropriate section of the strategy, the scope should provide the reader with an idea of the extent of their reach. For example, the goals, subordinate objectives, activities, and performance measures contained in the strategy should address several relevant statewide activities, including collaboration, planning, communications, public health, intelligence, counterterrorism, critical infrastructure protection, preparedness, training and exercises, emergency response, and recovery.²⁹ This will enable these statewide mission areas to align with and support the following six critical mission areas as identified in the National Strategy for Homeland Security:³⁰ intelligence and warning; border and transportation security; domestic counter-terrorism; protecting critical infrastructure and key assets; defending against catastrophic threats; and emergency preparedness and response. The reader should also understand that the Strategy’s goals and objectives align with the three goals identified in the National Strategy for Homeland Security. They are prevention of terrorist attacks within the

²⁹ National Capital Region Homeland Security Strategic Plan. (Washington D.C.: NCR, 2006).

³⁰ President. *National Strategy for Homeland Security*.

United States, reduction of America's vulnerability to terrorism, and minimization of the damage and recovery from attacks that do occur.³¹

Essential to the scope of the strategy will be a direct statement regarding its intent. For example, the New Jersey Strategy should act as the justification for all available funding sources from the Department of Homeland Security (DHS) and other Federal agencies. It should also be used as a guiding framework by all jurisdictions within New Jersey, State governmental, private sector stakeholders, non-governmental and volunteer organizations who seek to create their own strategies, therefore encouraging collaboration in all areas.

Significantly, although providing a guide for integrated and coordinated homeland security activities, the *Strategy* is not meant to delineate day to day operations and is not a replacement for local and State emergency management mitigation plans, which must be managed as per existing policy and procedure.

3. Methodology

Methodology is a documented approach for performing activities in a coherent, consistent, accountable, and repeatable manner.³² The methodology will tell the reader how the key elements of the strategy were developed, and from where the information came.

A suggestion for creation of this strategy would be to utilize a risk-based approach to identify threats and vulnerabilities facing the State. Utilizing a risk-based approach will insure that funding allocations will be awarded to the areas that represent the most need. The State's capabilities to address identified risks will also be analyzed.

The methodology of the strategy should also include a provision for eliciting input from key agencies such as the State Office of Homeland Security and Preparedness (OHSP), who oversee all homeland security funding concerns in the State; the New Jersey State Police (NJSP), who oversee the Joint Terrorism Task Force (JTTF); the State

³¹ President. *National Strategy for Homeland Security*.

³² Ichnet. "Glossary of Terms". www.ichnet.org/glossary.htm (Accessed July 11, 2007)

Office of Emergency Management (OEM), who coordinate emergency management grants and programs in support of local authorities; and the various public and private key stakeholders.

Finally, the strategy should contain a mechanism for measurement of performance. As suggestion to measure performance and success of this Strategy would be to create a working group of homeland security subject matter experts (SME) that will meet periodically to assess success and address the lack thereof. It can be amended as suggested by the group. A representative of the OHSP should chair the group.

B. PROBLEM DEFINITION AND RISK ASSESSMENT

1. Problem Definition

The problem statement in chapter I, section A, subsection 3 asks the question, “What is the major hurdle that the State must overcome to create and implement a Homeland Security Strategy?” A suggested answer to this question should appear in the problem definition. It is not recommended that a confrontational answer be given, simply a suggestion regarding how to remove that hurdle for the greater good of the state. Identifying this as a problem in the strategy puts the affected parties on notice that the authors have identified a hurdle, and that it must be addressed in order to implement the plan.

This section should also contain external environmental and social concerns of which the state has little or no control. For example, New Jersey shares its borders with the States of New York, Pennsylvania, and Delaware. The City of New York is adjacent to four of New Jersey’s most populous counties. 2.8 million of the State’s 8.7 million residents live in the counties that border New York City. There are four bridges and two tunnels that connect our state with New York City. New Jersey is also home to two nuclear generating stations, over 110 chemical plants, and 2 international airports. Integrating the needs and concerns of all of these groups into a homeland security strategy poses immense challenges that need to be addressed.

2. Risk Assessment

The strategy must contain an assessment of risk as well as an analysis of vulnerabilities related to a wide variety of events. The New Jersey strategy should use the risk-based approach, currently utilized by the New Jersey OHSP to identify threats and vulnerabilities facing the State. The OHSP, along with the State OEM developed a risk assessment protocol for assessing risk at critical infrastructure sites (CI) referred to as the Contingency Action Plan (CAP). The CAP is used to evaluate CI from an all-hazards approach. The CAP adheres to the tenants of emergency management from the planning and preparedness through the response and recovery. Effective mitigation strategies can be developed by using this type of site specific approach. The CAP has four parts. The first is an inspection of a critical infrastructure site. The second is the completion of a checklist. This checklist sets a standard for inspections. The third is a discussion between the inspectors and the site manager informing him/her of the findings of the inspection. The fourth is a follow-up visit to confirm that any recommendations as a result of the inspection were implemented. A completed CAP will help OHSP assess risk, threat, vulnerability, and funding requirements for specific critical infrastructure sites.

Since this strategy is based on an “all-hazards’ approach to homeland security and not only focused on critical infrastructure, a risk assessment would not be complete without taking into account the wide range of possible public safety concerns that exist.³³ The basic premise of Table 3, the Hazard Analysis and Vulnerability Matrix, was taken from the National Capitol Region Homeland Security Strategic Plan and altered to address the concerns of the State of New Jersey specifically for this thesis. It identifies the hazards, as agreed upon by a group of emergency management experts in the State OEM. It determines the probability of the event, and predicts the potential impact to the population and to structure. This matrix will enable OHSP to determine the direction of available assets.

³³ President, *HSPD 8. National Preparedness*.

Table 3. Hazard Analysis and Vulnerability Matrix³⁴

HAZARD	PROBABILITY	POTENTIAL IMPACT- POPULATION	POTENTIAL IMPACT- STRUCTURE
Workplace Violence	Low	Low	Low
Winter Storms	Medium	Medium	Low
Tornadoes	Low	High	Medium
Thunderstorms	Medium	Low	Low
Hurricanes	Low	High	High
Extreme Heat	Medium	Medium	Low
Extreme Cold	Medium	Medium	Low
Pandemic	Low	High	Low
Special Events	High	Low	Low
Sporting Events	High	Medium	Low
Casino Events	High	High	Medium
Civil Disorder	Low	Low	Low/Medium
HAZMAT-Industrial/Technological	Medium	Medium	Low
HAZMAT-Infrastructure/Utilities	Medium	High	Low
Rural Floods	Medium	Low	Low
Urban Floods	Medium	Medium	Medium
Coastal Flood	Medium	Medium	Medium
Transportation Accidents	Medium	Low	Low
School Violence	Low	High	Low
Terrorism-Radiological	LES	LES	LES
Terrorism-Cyber	LES	LES	LES
Terrorism-WMD	LES	LES	LES
Terrorism-Conventional Weapons	LES	LES	LES
Terrorism-Incendiary Devices	LES	LES	LES

C. GOALS, SUBORDINATE OBJECTIVES, ACTIVITIES, AND PERFORMANCE MEASURES

A necessary segment of any complete strategy is the inclusion of goals, objectives, and activities. Goals, along with a clear and attainable vision, represent where the strategy needs to be long-term. Objectives and activities represent what needs to be

³⁴ This table has been adapted from the National Capitol Region Homeland Security Plan. The data contained in the table was developed through consensus between the OHSP, NJSP, NJOEM and private stakeholders. Items marked LES are considered to be Law Enforcement Sensitive.

done to attain the goals and vision. The inclusion of goals, subordinate objectives, and activities that are measurable and amendable will be the strength of the New Jersey Strategy, as it is the weakness of the National Strategy. While it is true that the National Strategy has goals, are prevention, preparation and response, there are no clearly defined objectives that demonstrate to the reader how the goals are expected to be achieved. Nor are there any performance measures provided.

Also vital to a complete strategy are clear and concise mission and value statements. A mission statement conveys to the stakeholders why an organization exists. In regards to the State of New Jersey's homeland security efforts, the citizens of the State, along with the public and private homeland security partners represent the stakeholders. A values statement represents the common core priorities of an organization.

1. Mission Statement

The initial task of the stakeholder group should be to create a Mission Statement. The Mission is the organization's purpose, why it exists. An organizational mission statement takes time, patience, involvement, skill and empathy.³⁵ In the context of the New Jersey State Homeland Security Strategy, that mission should detail the reason for the existence of the OHSP, since OSHP is the state agency charged with the creation of such a strategy.

When creating a Mission Statement, the authors must provide clear answers to the following 4 questions. What function(s) does the organization perform, for who is that function performed, how does the organization perform the function(s), and why does the organization exist; what is its purpose?³⁶ Additionally, table 4 provides a checklist that will guide the author toward the creation of a clear and easily understood Mission Statement.³⁷

³⁵ Steven Covey, *The 7 Habits of Highly Effective People*. (New York: Free Press, 1989), 141.

³⁶ United States Army. *Strategic Planner's Course*, 9.

³⁷ Ibid.

Table 4. Mission Statement Checklist A

MISSION STATEMENT CHECKLIST	Yes/No
Does it define what the organization does?	
Does it identify key abilities or competencies?	
Does it define products and services without being too narrow?	
Is it no more than one paragraph in length?	
Does it focus on the present, and not combined with a future-focused vision statement?	
Is it written clearly, without buzz words?	
Can it be examined and rewritten as necessary when the organization's scope changes?	

Let us review the Mission Statement from DHS:

*We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the nation. We will ensure safe and secure borders, welcome lawful immigrants and visitors, and promote free-flow of commerce.*³⁸

Does this Mission Statement answer the four basic mission statement questions?

1. What function(s) does DHS perform?

The DHS functions are very clear. DHS will *lead* the unified effort, *prevent*, *deter*, *protect and respond*, *ensure* safety and security, *welcome* immigrants and visitors, and *promote* commerce.

³⁸ Department of Homeland Security. Strategic Plan. *Mission Statement*. (Washington D.C.: DHS, 2006).

2. For who is that function performed?

The functions are performed for Americans, *lawful immigrants, visitors, and those engaged* in commerce.

3. How does DHS perform the function?

DHS performs this function by leading, preventing, deterring, protecting, responding, ensuring, welcoming, and promoting.

4. Why does DHS exist; what is its purpose?

Their purpose for existing is clearly defined in the entire Mission Statement. The DHS Mission Statement makes an attempt at integration with the National Strategy for Homeland Security. The passage *We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the nation* aligns itself with the objectives found in the National Strategy for Homeland Security, those being prevention of terrorist attacks within the United States, reduction of America's vulnerability to terrorism, and the ability to minimize the damage and recover from attacks that do occur.³⁹

Now, in Table 5, let us apply the DHS Mission statement to see if it conforms to the mission statement checklist advocated by the United States Army Strategic Planners Course.

³⁹ President, *National Strategy for Homeland Security*, 3.

Table 5. Mission Statement B

MISSION STATEMENT CHECKLIST	Yes/No
Does it define what the organization does?	Yes
Does it identify key abilities or competencies?	Yes
Does it define products and services without being too narrow?	Yes
Is it no more than one paragraph in length?	Yes
Does it focus on the present, and not combined with a future-focused vision statement?	Yes
Is it written clearly, without buzz words?	Yes
Can it be examined and rewritten as necessary when the organization's scope changes?	Yes

The DHS Mission statement appears to be a well-crafted, easily understood statement that describes to the reader the purpose for the Department of Homeland Security.

One final and very important aspect of the mission of an organization is the fact that each subordinate, supporting element, or operational unit should have a mission that directly link to the organizations mission. This aspect is a key reason why the State Homeland Security Strategy must be completed prior to the completion of strategies at the supporting State, county, municipal, or private levels. The creation of a Mission Statement at the higher level will provide all levels beneath with an understanding of why they are a necessary part of the overall plan for success.

2. Values Scan

After the stakeholder group come to an agreement regarding the stated mission of the State homeland security strategy it should shift its focus to the values scan. Values are defined as the ideals, customs, institutions, etc., of a society toward which the people of the group have an affective regard. These values may be positive, such as cleanliness,

freedom, or education, or negative, such as cruelty, crime, or blasphemy.⁴⁰ Values are subjective, but can be shared by groups. Values are not universal. Values are similar to a code of morals or ethics that define what an organization or group stands for, believes in, and considers acceptable or unacceptable. Values must exist if the organization is to achieve its vision and complete its mission. The stated values of an organization must be clear and concise; describing to the readers the attributes they can expect to experience when dealing with members of that organization. Values are the enduring beliefs about what is right and desirable for the organization. Values are most often expressed in terms of tenets.

The seven values of the United States Army are *Loyalty*; bear true faith and allegiance to the U.S. constitution, the Army, and other soldiers. Be loyal to the nation and its heritage, *Duty*; fulfill your obligations and accept responsibility for your own actions and those entrusted to your care. Find opportunities to improve oneself for the good of the group, *Respect*; rely upon the golden rule. How we consider others reflects upon each of us, both personally and as a professional organization, *Selfless Service*; put the welfare of the nation, the Army, and your subordinates before your own. Selfless service leads to organizational teamwork and encompasses discipline, self-control and faith in the system, *Honor*; live up to all the Army values, *Integrity*; do what is right, legally and morally. Be willing to do what is right even when no one is looking. It is our "moral compass" an inner voice. *Personal Courage*; our ability to face fear, danger, or adversity. Possess both physical and moral courage. These values bind each soldier to one another and create a framework of morality that keeps the Army moving in a positive direction. Criminal groups can also have a set of values that bind them together. According to Judith Chubb, the Mafia, or Italian organized crime is bound by honor, kinship and instrumental friendship.⁴¹

When creating a values statement for a State Homeland Security Strategy, there are four types of values that must be considered for inclusion.

⁴⁰ Dictionary.com, "Definition of Values". <http://www.dictionary.reference.com/browse/values>. (accessed May 15, 2007).

a. Personal Values

Personal values are those the organization takes for itself and which constitute a critical part of their values. Personal values must be apparent in attitudes, beliefs, and actions of the individuals in the organization. Personal values may be prioritized, such as honesty, then responsibility, then loyalty and so on, as in the Army Values.

b. Social Values

Social values are those which put the rights of constituency and the public first. This may include equality, justice, liberty, freedom, safety, and national pride. In American culture, these values were often instilled into us when we were young. Most Americans treasure their social values.

c. Political Values

Political values are ideological beliefs about the best way to govern a country or organization, for example through welfare, democracy and civic responsibility. The political values in a homeland security strategy should not change each time a change in political climate occurs. Unlike goals, objectives, and initiatives, values tend to be static; unchanged as years pass or the strategy changes.

d. Economic Values

Economic values are those around funding sources and fiscal responsibility. Economic values contained in a value statement will assure the reader that although security comes at a cost, the responsible organization is taking all necessary steps to eliminate wasteful spending and deploy resources where they can be most efficient.

⁴¹ Judith Chubb. Cornell Studies in International Affairs. "The Mafia and Politics". (Cornell: Ithaca, 1998).

Creating a State Homeland Security Strategy on a foundation of socially, culturally, and organizationally accepted values will ensure the goals and objectives of the strategy are created with the best intentions.

3. Vision

“Where there is not vision, the people perish.” The Bible, Proverbs 29:18

If a mission statement tells the reader or the participant why an organization exists, then the vision statement tells them where they want to be long-term. It does not necessarily provide guidance on how the organization intends to get to where it's going, but it certainly can provide the stakeholder with a direction. A vision statement should not only provide the stakeholder with a clear understanding of what the future should look like, it should inspire the stakeholder to desire inclusion in the process. Contemplate the slogan from Avis Car Rental Corporation from the 1970's, which could easily be referred to as their vision; “We're not number one, but we try harder”. This vision statement readily acknowledged the fact that the competitor, Hertz Corporation was the leading car rental company in the United States. It also sent a message to the stakeholders (the public, and the employees) that despite the fact that theirs status kept them from occupying the top spot, they intended to put forth a superior effort when compared to the competition. This is the type of inspiration that should be evident in any vision statement. If a homeland security strategy lacks a clear vision that is inspirational to the stakeholders, they might be less inclined to put forth the same superior effort that served as the Avis Corporation hallmark. Of equal importance is the fact that any vision should be and inclusive, easily shared vision. A vision statement at the state level must be attainable by the state employee stakeholders involved in the implementation of the strategy. The vision also should be crafted in a manner that makes it easy for visions contained in subordinate strategies to integrate with the state vision. One of the complaints with the current situation in New Jersey is that the OHSP has yet to demonstrate to any of the key stakeholders that a state vision exists.

4. Goals

Once the key stakeholders have decided on the direction for the homeland security strategy by identifying the mission, values, and vision of the strategy, it is time to start identifying the goals. The goals are the intended outcome of the strategy. They are the product of the identification of concerns, both internal and external, that the stakeholders feel must be addressed. The number of goals in a strategic plan may vary depending on the size of the organization or the anticipated future needs. The NCR plan contains five goals. The Texas plan contains three goals. The goals in the Texas plan mirror the stated objectives in the National Strategy, and therefore facilitate integration with national efforts. These goals should be broad categories of work that must be achieved by entities identified in the strategy. They must be created to help the organization facilitate the realization of the mission and vision. Where a strategic plan is not designed to delineate day to day operations, a goal may be aligned with day to day operations. Goals are created through a process that must include stakeholder participation. These goals must reflect legitimate homeland security concerns. Currently in the State of New Jersey, homeland security goals are created while the DHS Grant process is in effect. The state determines what DHS is prepared to fund, and adjusts its application to reflect items they are certain can be obtained. An effective homeland Security Strategy must identify goals that are important to the private and public stakeholders and the citizens, and make an argument for obtaining the assets needed. The current system of creating the goals while the process is in effect stymies innovation.

In order to create the goals for the State homeland security strategy, the stakeholders must assess their abilities. The use of the SWOT method is popular among business planners. SWOT, an acronym, is an assessment of Strengths, Weaknesses, Opportunities, and Threats. During the SWOT planning session, stakeholders assess their strategy's internal strengths and weakness, followed by their external opportunities and threats. A SWOT matrix appears in Table 6.⁴²

⁴²BusinessBalls.com. "SWOT Analysis". <http://www.businessballs.com/swotanalysisfreetemplate>. (accessed May 21, 2007)

When conducting a SWOT analysis, the group must use the acronym **USED** to apply the appropriate analysis to each section of the matrix. **USED** stands for:

Table 6. SWOT Matrix

How can we Use each Strength?	How can we Stop each Weakness?
How can we Exploit each Opportunity?	How can we Defend against each Threat?

Goals must be monitored periodically to determine whether or not they have been met. If they have not been met, analysis must be done to see if the circumstances exist that would prevent the goal from ever being met, or if there are impediments that must be removed to successfully meet the goal. If the goal is met, it is time to amend the plan and develop a new goal. Or, as in the case of a recently completed New Jersey State Police Troop “C” goal, create a related goal to further the implementation of a policy.

The 2007 Troop “C” Strategic Plan contained a goal for the implementation of Intelligence-Led Policing (ILP). This was a new concept for the Troop, and the goal was designed so that ILP would be implemented first at a rudimentary level and includes only the Troop Criminal Investigations Office. Once ILP was implemented at such a level, a new goal would be introduced that would provide advanced training to all personnel throughout the Troop. Once this goal was met, a more aggressive goal involving integration with other commands would be created. The end result would be compliance with the Superintendent’s strategic goal of full implementation of ILP throughout the Division of State Police. The method is closely associated with the military training method referred to as crawl, walk, and run. Before proficiency can be measured (run), the student must first be taught to crawl, then walk.

The National Strategy for Homeland Security identifies three clear goals. They are to *prevent terrorist attacks* within the United States, *reduce America’s vulnerability* to terrorism, and *minimize the damage* and *recover* from attacks that do occur. They

provide the reader with an understanding of the reason why the strategy exists. The New Jersey Strategy must create goals that are just as clear and support and align themselves with the national goals while at the same time addressing the concerns organic to the state.

5. Objectives

Objectives are created to support the successful realization of the goals. They detail what actions must be undertaken to accomplish the goals. Objectives tend to be much more detailed than the goals they support. They have to be since the objectives drive the goals. When creating objectives, it is important to remember the six vital criteria that must be present in each. They must be very specific and relative to the goal; there must be a provision to measure or quantify them; they must be attainable; they must be a realistic possibility of meeting the objective with the assets available; there must be a timeline or deadline attached to them; and there must be a responsible party identified. A common acronym to remember when creating objectives is SMART-R, which stands for specific, measurable, attainable, realistic, time-limited, and responsible party.⁴³ The elements of SMART-R can either be included within the objectives or in the activities that support the objectives.

The National Strategy for Homeland security identifies six objectives, which they refer to as critical mission areas. These objectives, like the goals are clear and direct. Those objectives are intelligence and warning, border and transportation security, domestic counterterrorism, protecting critical infrastructure and key assets, defending against catastrophic threats, and emergency preparedness and response.⁴⁴ The GAO has determined that these goals, objectives and activities lack priorities, milestones, and performance measures.⁴⁵ The State Strategy must include these items to make certain that the goals and objectives are achieved.

⁴³ United States Army. *Strategic Planner's Course*. ,8.

⁴⁴ Bush. *National Strategy for Homeland Security*..

⁴⁵ Yim, *Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, 18.

The “Goals” subchapter of this paper described a strategic goal within the NJSP Troop “C” Strategic Plan that called for the implementation of ILP. The first objective in support of this goal is to *“create a training module that will familiarize all Troop “C” personnel with the concept of ILP and how ILP will enhance our ability to provide the best police service available.”*⁴⁶

6. Activities

Activities are developed to make it possible to achieve the desired results of an objective. The New Jersey State Police use activities to identify milestones and priorities. The NJSP also chooses to assign responsibilities in their activities to insure accountability. Using the aforementioned NJSP goal of implementing ILP, Table 7 provides an example of how the NJSP integrate their initiatives into their goals and objectives.

Table 7. NJSP Sample Goal, Objective and Activity

GOAL 1 : Implement Intelligence-Led Policing Throughout Troop “C”
OBJECTIVE 1.1 : Create a training module that will familiarize all Troop “C” personnel with the concept of ILP and how ILP will enhance our ability to provide the best police service available.
ACTIVITIES : <ol style="list-style-type: none"> 1. Captain Rosell will meet with the Troop “C” Criminal Investigation Office no later than 04/05/2007 to formulate a training policy and strategy. 2. Lieutenant Sykes will develop an ILP training module no later than 04/16/2007. 3. Lieutenant Sykes will implement the ILP training module no later than 04/28/2007

⁴⁶ Richard Rosell, *2007 Troop “C” Strategic Plan*. (Hamilton: NJSP, 2007), 3.

7. Performance Measures

Performance measures are used to provide a process for monitoring and reporting on progress, to gauge results and ensure accountability.⁴⁷ The attainment of a goal might not progress as anticipated. The results might not reflect the desired outcome. To make certain that progress is unimpeded and success is met, performance measures must be in place prior to the onset of the project. The NJSP uses its management accountability process to monitor the progress of all strategic plans. For example, the Troop “C” Strategic Plan is reviewed monthly during a Management Accountability Conference (MAC) to monitor its progress. If there is an impediment identified, the plan is revised to contain a new activity that removes the impediment.

The NJSP also uses the MAC process to gauge the results of the attainment of goals. Referring back to the goal of implementing ILP, success is not just the fact that ILP was implemented throughout Troop “C”. The greater reason, tied into the Superintendent’s ILP goal is whether or not Troop “C”’s participation in ILP is enhancing the NJSP’s intelligence gathering and sharing capabilities. GAO also mentions that ensuring accountability as a factor in performance measurement. As seen in Table 7, the NJSP assigns specific members to be accountable for specific activities. Some activities are “common sense” and therefore could be considered implied tasks. The NJSP has found that implied tasks sometimes are overlooked. Assigning responsibility to an activity greatly diminishes the possibility of that activity being overlooked.

D. RESOURCES, INVESTMENTS, AND RISK MANAGEMENT

This section of a strategy must identify the human and budgetary capital necessary to carry out the objectives of the strategy and meet its goals. These resources should be allocated using a risk management plan so that they are allocated according to the risks and vulnerabilities outlined in subchapter B., 2.

⁴⁷ Yim. *Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, 30, 34.

The State of New Jersey does not have an infinite number of resources to devote toward homeland security. Since January, 2006, departments throughout State government have been asked to accomplish more with less. The NJSP has formed alliances with other State, county and local agencies to facilitate its crime prevention and apprehension goals. Taking a cooperative approach toward homeland security, starting with the creation of a homeland security strategy that includes the concerns of all of the public and private partners available could enable the State to greatly increase its human and equipment resources.⁴⁸ As stated in the National Strategy, Homeland Security is defined as a *concerted* national effort to prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur.

Despite the lack of a State strategy, the OHSP, who by executive order manages all grants and funding, already allocates available funding to public and private partners, utilizing a risk management plan that analyzes risk and vulnerability, and allocates budgetary capital accordingly.

E. RESPONSIBILITIES, ORGANIZATIONAL ROLES, AND COORDINATION

1. Responsibilities

Have you ever been involved in a project where the creators remained anonymous until the final verdict from the supervisor was rendered? If the project was deemed a success, those people were the first to claim responsibility. Conversely, if it received poor evaluations, nobody claimed ownership. The State strategy must clearly delineate who will be the responsible party for each step will be so that they may be held accountable. There can be no anonymity in the creation of this strategy.

⁴⁸ A cooperative effort will bring together the resources of the State, all 525 municipal police departments, 744 fire departments, 21 County Offices of Emergency Management and hundreds of private sector partners. For example, the Newark Police Department and the State Police, working independently, had difficulty lowering the aggravated assault with a weapon rate in the City of Newark. Forming a group and sharing resources in order to achieve a common goal has lowered the assault with a weapon rate 40 percent this year.

2. Organizational Roles and Coordination

The first step in the creation of a military operations order is to Task Organize. Task Organization provides the responsible parties with an accurate idea of whom and what are available to them so they may deploy them accordingly. For the purposes of the creation of a homeland security strategy, organizational roles must be clearly identified as soon as possible and *supported* by the highest level of government. If responsibility and organizational roles are identified, the next step will be for the responsible parties to coordinate the efforts.

Coordination of efforts should be through the State's fusion center, the Regional Operations Intelligence Center (ROIC). Through the ROIC, all of the state's all-hazards prevention, preparedness, response, and recovery efforts are already being coordinated. The New Jersey State Police, in conjunction with its many partner agencies have created a mechanism that would fit well into the coordination needs of the state strategy.

F. INTEGRATION AND IMPLEMENTATION

1. Integration

Although there is no document that requires a state to adopt the provisions of a national strategy, the GAO recommends that a (national) strategy could discuss how its scope complements, expands upon, or overlaps with other (national) strategies.⁴⁹

Integration is something most of us do daily. While we are at work, many of the tasks we accomplish (or for some of us, try to accomplish), must integrate first with tasks that someone else has already accomplished or will accomplish. Together, these pieces come together as a final product. They must also integrate with the desired outcome of our supervisor. Integration, for the purposes of a State homeland security strategy simply means that if there are other entities out there working toward a similar outcome, it would be more helpful to the public if our activities worked in concert with one another.

49 Yim. *Evaluation of Selected Characteristics in National Strategies Related to Terrorism*, 39, 40.

2. Implementation

Once the plan is complete, it is time to implement it. If all of the steps in the plan have followed the GAO's suggested six characteristics, we will know what the purpose is, who is affected, how the plan was developed, what the problems are, what obstacles we face, what we want to accomplish and how we intend to do so, what resources are available and where we might deploy them, who is expected to do what, who is responsible for what, and how our plan relates to other plans that are similar or supportive. With all of that knowledge, it should be easy to implement our plan, right? The 17 page National Strategy for Pandemic Influenza required a Strategy for Pandemic Influenza Implementation Plan that is 233 pages in length. That doesn't sound too easy.

While some plans are so complex, they need their own implementation plan to implement them, others do not need such attention. While it may be possible to complete a plan and implement it immediately, it may not be necessary or possible to implement the plan all at once. The New Mexico Plan to Promote Healthier Weight has an implementation plan within the strategy that calls for responsible parties to implement pieces of the plan separately. In turn, they report their findings as "lessons learned", which assists the plan's administrator, the New Mexico Healthier Weight Council, adjust the plan for the following year. Implementation of this strategy will depend largely on the level of cooperation provided by the highest level of State government and their willingness to impose their will on the counties and municipalities.

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IV. RECOMMENDATIONS

In Section II, Strategy Comparisons, this thesis compared five different strategies with the GAO's six desirable characteristics. Also compared was the status quo, which was proceeding with no strategy. The option of continuing with the status quo does not contain provisions that will enable to the State of New Jersey to plan adequately for the future.

The Texas and NCR Strategies were the only two that fully addressed the six characteristics. These two strategies are also the only two that combine the foundation of a strategy similar to the National Strategy for Homeland Security with the characteristics of a conventional business strategic plan. The former allows for easy revision when needed. Of the two strategies that were found to fully address the six characteristics, only the NCR plan has been assessed by GAO. The only flaw identified by GAO was related to the substance of information within the six characteristics.⁵⁰ The recommendation of this thesis is to create a strategy that is constructed in a similar manner to the NCR Plan, making certain that the New Jersey Strategy addresses the shortcomings identified by the GAO.

A. GAO CONCERNS

The GAO suggested that additional information could have been provided in the NCR Plan. The additional information that could have been provided pertained to the following:

- The type, nature, scope, or timing of planned goals, objectives, and initiatives
- Performance expectation measures
- Designation of priority initiatives to meet regional risk and needed capabilities

⁵⁰ The GAO report suggested that additional information could be provided regarding the type, nature, scope, or timing of planned goals, objectives, and initiatives ; performance expectation measures; designation of priority initiatives to met regional risk and needed capabilities; lead organizations for initiative implementation; resources and investments; and operational commitment. Jenkins, Jr.. *Assessment of the National Capital Region Strategic Plan*, 2, 3.

- Lead organizations for initiative implementation
- Resources and investments
- Operational commitment

The GAO has already reviewed several Federal homeland security strategies, along with an assessment of the NCR plan. Since the recommendation of this thesis is that New Jersey's adopt a similar strategy to the NCR plan, it would make sense to use the GAO Assessment as a guide to further refine the final product.

1. Type, Nature, Scope, or Timing of Planned Goals, Objectives and Initiatives

The type, nature, and scope of the goals, objectives, and initiatives should be developed in collaboration with all homeland security and emergency management partners to maintain an air of fairness, as well as to ensure that all possible threats and vulnerabilities are addressed. If one partner is left out, the remaining might not be aware of how a goal, objective, or activity affects that partner. The New Jersey strategy must be a concerted State and local effort.

a. Collaboration

Collaboration exists in most every facet of our lives. Those of us who are married collaborate with out spouses regarding the best course of action for family activity and welfare planning. The success of any sports team depends almost entirely on collaborations. The academic environment at the Naval Postgraduate School is focused on collaboration between the students, who learn by discussing their opinions with each other and their professors; developing and refining their own theories through research and interaction. In a U.S. General Accounting Office (USGAO) report that analyzed their own strategic planning process, one of their observations was that "not only must

USGAO engage external partners in their strategic collaboration efforts, but teams and offices within USGAO must cooperate more effectively, and collaborate with a larger vision in mind.”⁵¹

So why is it so difficult for the people responsible for homeland security to get together and create a mutually beneficial plan? After all, homeland security is a common objective of every person in public service as well as the public. But that does not mean that the responsibility of creating a plan falls on the individual. No plan, no matter how small or large can be adequately prepared without assembling a collective.

b. Stakeholder Engagement

In that same report referenced above, USGAO made a case for increased engagement with more external stakeholders in planning, claiming that “expanding the audience of stakeholders can bolster future efforts and generate novel solutions.”⁵² Any strategy prepared by the State of New Jersey must be prepared with the input and approval of the affected constituency. Stakeholder involvement will help shape the strategy and make certain it addresses the needs of the stakeholder. It should be the start point of the creation of the State Homeland Security Strategy. Consultation and dialogue with stakeholders is increasingly a part of mainstream business practice as a way of gathering important input and ideas, anticipating and managing conflicts, improving decision-making, building consensus amongst diverse views, strengthening relationships, and enhancing corporate reputation.⁵³ In the case of a Homeland Security Strategy, that constituency is comprised of the key public and private stakeholders. The New Jersey emergency management and homeland security environment is very complex. All emergency management related issues in New Jersey are coordinated through the State Office of Emergency Management (OEM). OEM is headed by the Superintendent of State Police. Each county and municipality has autonomous emergency management

⁵¹ George L. Ward, *Strategic Planning at the U.S. General Accounting Office*, (Washington D.C.: The George Washington University, 2001),16.

⁵² Ibid., 16.

⁵³ Business for Social Responsibility. "Stakeholder Engagement". Winter, 2007.
<http://www.bsr.org/crsresources/issuebriefdetail.cfm?documentid=48813> (accessed May14, 2007).

responsibilities, as do almost every Division level state government entity. Separate from emergency management concerns is the State Office of Homeland Security and Preparedness (OHSP), who coordinate all homeland security issues throughout New Jersey, with exception to prevention. Prevention activities are the responsibility of each law enforcement agency in New Jersey. These stakeholders are not just the emergency management, homeland security, law enforcement, and other related governmental agencies. To be truly inclusive, and to form a more effective and efficient collective, all governmental agencies involved in providing services to the public must be included in the planning process. Additionally, the many private entities that may be affected by a terrorist attack, an accident, or an environmental disaster must be looked upon as equals in the preparation of all plans, both strategic and operational. To include the wide spectrum of stakeholders is a daunting task. It is difficult, to say the least to assemble representatives from each discipline in one place, at one time in order to create a plan. In New Jersey, this tactic was attempted in November, 2005 by the OHSP during the 2006 DHS grant application process. It failed. Representatives from most of the key stakeholders identified by OHSP attended a meeting designed to establish goals for the submission of funding requests. During the meeting, OHSP instructed the attendees how to create investment justifications and to submit their proposals within a two month period. The hope of OHSP was to have all of the proposals well in advance of the DHS Homeland Security Grant Application deadline. At the end of the two months, only one agency, the NJSP, responded. According to the OHSP grants coordinator, not one other stakeholder submitted their input. The reason this happened was due to the mistrust the county and local emergency management, law enforcement, and homeland security agencies have for the OHSP. The current OHSP has the misfortune to still be living with the stigma attached to them in the early years of their creation.

To address the concern in section I., B. “Hypotheses” of encouraging input from key stakeholders, this thesis proposes two suggestions. But before we get to these suggestions, it is important to discuss how these stakeholders should be identified. To avoid the creation of a bureaucracy of unimaginable proportion, the key stakeholders identified by OHSP should be broken down into groups, for example emergency

management, homeland security, federal law enforcement, state law enforcement, county law enforcement, local law enforcement, fire safety, emergency response, public health, transportation, private response (Red Cross, Salvation Army, etc.), Attorney General's Office, privately owned sports venues, privately owned utilities companies, power plants, chemical companies, banking and commerce, private citizen groups, faith based organizations, and agriculture. Once these groups are identified, the OHSP should broker a meeting with each individual entity within that group for the purpose of establishing points of contact that are empowered to represent the interests of that group. This tactic is not uncommon in the business world. In 2004 the Ceres environmental network implemented a stakeholder engagement process wherein their stakeholder coalition was divided into 12 stakeholder teams that represented each large company, or clusters of smaller companies. The responsibilities of these teams included strategic planning, prioritization of emerging concerns, and preparation of an annual report review.⁵⁴ Once OHSP has points of contact, one of the two suggestions could be implemented. The first suggestion is to assign one member of the OHSP to conduct personal, one-on-one visitations to each key stakeholder group. A key strength of this suggestion is the human interaction. Human interaction with a stakeholder could likely elicit some type of response. It would provide the stakeholder with the feeling that he or she, or their agency has an attachment with the plan. The second suggestion is to utilize a Delphi survey to establish goals that are important to the stakeholders. The surveys could be sent to the members of the committees with strict rules regarding their return. The strength of using a Delphi survey to elicit input from the stakeholders addresses the staffing concerns in OHSP. Since the OHSP is understaffed, Delphi surveys would replace the need for one-on-one visitations. This could save time, which is important since the next DHS Homeland Security Grant process is due to start in late fall of this year.

For years, strengthening stakeholder engagement has been hailed as a favorable business practice. The Boston College Carroll School of Management conducted an analysis of Fortune 500 companies and found that building positive

⁵⁴ Ceres. "Stakeholder Engagement and Assurance".
http://www.ceres.org/sustreporting/stakeholder_engagement.php. (accessed May 14, 2007).

stakeholder relationships can be associated with other positive corporate characteristics and favorable ratings by peers as having superior management.⁵⁵

The timing of the goals, objectives, and initiatives should be addressed in a manner similar to the way the NJSP constructs their strategic plan (See example in Table 7). The timeline for the implementation of the activities that support the objectives are clearly delineated in the activities section of the goal, as are the responsible parties.

2. Performance Expectation Measures

As in subchapter two of this section, the NJSP Strategic Plan model in Table 7 should be used as a reference when creating performance measures to the goals. The performance measures and milestones in the one objective and corresponding activities cited are clear and concise. The GAO assessment of the NCR plan proposes the suggestion that some of NCR's output measures contained in the plan should be reviewed to see if they might become more outcome-oriented. A review of the output measures in the Table 7 reveal that the same could be said for them.

B. DESIGNATION OF PRIORITY MEASURES TO MEET RISK AND NEEDED CAPABILITIES

The strategy has yet to be created, and therefore we don't know the content of the objectives. Assuming that at least some of the objectives created will address risk and needed capabilities, the strategy must assess which of them are considered to be priority objectives. Provisions must then be made to provide funding for them absent of timely dissemination of federal funding, or, absent of any federal funding at all.

C. LEAD ORGANIZATIONS FOR INITIATIVE IMPLEMENTATION

The State OHSP must take the leadership role on the creation of any New Jersey Homeland Security Strategy. OHSP receives its direction and authority regarding its roles and responsibilities from New Jersey Executive Order 5, dated March 16, 2006. This leadership role starts with building partnerships and collaboration.

⁵⁵ Ann Svendsen, The Stakeholder Strategy. *Profiting from Collaborative Business Relationships*. (Berrett-Khoeler:San Francisco, 1998), 18.

Unfortunately the OHSP has had great difficulty building partnerships and collaborating with State, county, and local agencies. Not all of this difficulty is their fault. Previously stated Home Rule concerns and hesitancy on the part of the Office of the Attorney General to mandate cooperation have compounded the situation. During the preparation of the 2006 DHS Grant applications, OHSP held a meeting for all affected partners. This meeting was meant to provide instruction on the proper submission of the grant applications. Three months later, well beyond the deadline, OHSP had received only one response to the grant application. That was from the New Jersey State Police (NJSP). Rather than reorganize and mandate cooperation, OHSP requested that the NJSP create the investment justification on behalf of all law enforcement in the State of New Jersey. Naturally, the Superintendent of State Police declined. Had he not declined, OHSP would have created a situation where one police department would have been applying for funding for over 475 agencies based on what that one department assumed was their needs.

On August 22, 2006, OHSP published and distributed a document they called the New Jersey Homeland Security Planning Strategy. This document was meant to be a rudimentary guide for county and local agencies in the preparation of their own strategic plans and to illicit some type of response for the upcoming 2007 grant process. Although OHSP distributed this document to county and local agencies, they themselves have still has not completed their strategy. The lack of a strategy that provides direction on the part of OHSP or the State makes it difficult for partner agencies to develop their complementary strategies.

There are several other agencies in New Jersey that have not only operational homeland security responsibilities but also policy making responsibilities. Although there are no goals, objectives, or activities created yet, knowledge and experience in the homeland security and emergency management realms in New Jersey tell us that the Office of the Attorney General, the NJSP, State Health, the National Guard, the Department of Transportation, among several others will need to be identified in the strategy as key lead organizations in implementing the initiatives.

D. RESOURCES AND INVESTMENTS

As in the NCR Plan, building and sustaining the needed capabilities of the New Jersey Strategy will be greatly dependent on how effectively the State uses available funding. The NCR plan has an estimated cost attached to each initiative. The New Jersey Plan must also include a budgetary estimate where applicable as well as an assessment of human resources available that could impact the achievement of the goal.

E. OPERATIONAL COMMITMENT

By virtue of NJEO-5, OHSP must be responsible for the creation and maintenance of the homeland security strategy. But the OHSP is understaffed, with no relief in sight. They also lack operational capabilities. They do not have the resources to fulfill their obligations as stated in NJEO-5. To complicate matters, the operational component of the State's presence on the Federal Joint Terrorism Task Force is mostly comprised of NJSP Detectives. Contrary to a provision of NJEO-5 which states that the Office shall conduct law enforcement investigations in conjunction with the FBI Joint Terrorism Task Force, the State Police, the Division of Criminal Justice in the Office of the Attorney General, and other law enforcement agencies specifically designated by the Director, the OHSP is not staffed adequately to carry out this mission. The NJSP currently carries the primary burden of conducting these investigations. Additionally, the State OEM is firmly entrenched within the NJSP, which boasts a complement of over 200 members permanently assigned to OEM functions, and another 250 assigned full-time to homeland security related duties. Factor in an additional 2500 troopers that represent an impressive force multiplier, and the NJSP becomes the 800 pound gorilla of the OEM world in New Jersey. For the OHSP to be successful as the administrator of the State's first homeland security strategy, it must seek and accept a cooperative relationship with the NJSP and the OEM. One OHSP member, operating alone with limited resources and contacts might find it difficult to effectively accomplish a mission. One OHSP member, operating in conjunction with a 3000 member organization, having access to technical and investigative resources that would otherwise be unavailable could expect to have somewhat greater success at mission accomplishment.

Since, by Executive Order the OHSP must be the manager of the homeland security strategy, it will be up to the Director to create policy that will coordinate the efforts of the public and partners so that duplication of effort is minimized and mission accomplishment is maximized.

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V. CONCLUSION

The State of New Jersey does not have a written homeland security strategy. This thesis argues that New Jersey should have a strategy. Beyond that, this thesis also describes the elements that should be in that strategy. Hopefully, a by-product of this thesis will be a homeland security strategy template that can be used by other states. Any justifications by the State of New Jersey for their lack of a homeland security strategy are no longer supportable. A well-defined, comprehensive homeland security strategic plan is essential for assuring that New Jersey is prepared for the risks it faces, whether those risks are from nature or human action. The creation of a strategy is a complex problem. All of the pieces necessary to create a relevant plan exist. They are just not in sync. Homeland security in the New Jersey is disjointed. The existence of such a strategy is vital for State, county, local agencies to create and manage plans for prevention, response, and recovery efforts related to terrorist attacks or natural emergencies and operate in unison with one another.

The first step taken by this thesis was to conduct a comprehensive content analysis of existing national and state homeland security strategies as well as non-governmental literature related to conventional business planning using the resources of the Naval Postgraduate School's Homeland Security Digital Library, State homeland security websites, and the Center for Homeland Defense and Security (CHDS) student responses. National strategies were also reviewed to insure integration with national efforts. Based on the review of these strategies, this thesis identified homeland security elements that are relevant to the concerns of the State of New Jersey.

After the analysis of the research was complete, the second step was to develop a template that compared existing strategy types to determine which parts of each represent the best course of action for the creation of not only a New Jersey Strategy, but other partner strategies as well. This step relied on the GAO report on desirable characteristics in Homeland Security Strategies to determine which elements of these strategies would be useful in the creation of the New Jersey homeland security strategy.

The National Capitol Region (NCR) Homeland Security Strategy was selected as a guiding document for the creation of the New Jersey strategy. The NCR plan, like the National Strategy for Homeland Security contains a strong foundation. It also contains elements of a conventional strategic business plan. According to a GAO report, the NCR succeeded in its efforts to address all six characteristics GAO considers to be desirable for a regional homeland security strategy. The GAO found limited room for improvement in the NCR Strategic Plan.

The OHSP must take the lead on the creation of New Jersey's first State Homeland Security Strategy. They must assemble a working group of key homeland security and emergency management partners, whose job it will be to create the strategy. Any strategy prepared by the State of New Jersey must be prepared with the input and approval of the affected constituency. Stakeholder involvement will help shape the strategy and make certain it addresses the needs of the stakeholder. It should be the start point of the creation of the State Homeland Security Strategy. The OHSP must construct the strategy using the six desirable characteristics identified by GAO. The NCR plan should be used as a guiding document. The strategy can be further refined using the GAO report that reviewed the NCR plan to refine it. Now, six years after the events of September 11, 2001, the State must take the leadership role for which it was destined.

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APPENDIX

Table 8. Description of elements contained in Table 3

Desirable Characteristic	Brief Description	Examples of Elements
Purpose, scope and methodology	Addresses why the strategy was produced, the scope of its coverage, and the process by which it was developed	<ul style="list-style-type: none"> • Statement of broad or narrow purpose, as appropriate • How it compares and contrasts with other (national) strategies • What major functions, mission areas, or activities it covers • Principles or theories that guided its development • Impetus for strategy, e.g. interagency task force; state, local, or private input • Definition of key terms
Problem definition and risk assessment	Addresses the particular national problems and threats the strategy is directed towards	<ul style="list-style-type: none"> • Discussion or definition of problems, their causes, and operation environment. • Risk assessment, including analysis of threats and vulnerabilities. • Quality of data available, e.g. constraints, deficiencies, and unknowns
Goals, subordinate objectives, activities, and performance measures	Addresses what the strategy is trying to achieve, steps to achieve those results, as well as the priorities, milestones, and performance measures to gauge results.	<ul style="list-style-type: none"> • Overall results desired, i.e. “end state.” • Hierarchy of strategic goals and subordinate objectives • Specific activities to achieve results • Priorities, milestones, and outcome-related performance measures. • Specific performance measures. • Process for monitoring and reporting on progress. • Limitations on progress indicators.
Resources, investments, and risk management	Addresses what the strategy will cost, the sources and types of resources and investments needed, and where resources and investments should be targeted by balancing risk reductions and costs.	<ul style="list-style-type: none"> • Resources and investments associated with the strategy. • Types of resources required, such as budgetary, human capital, information technology, research and development, contracts. • Sources of resources, e.g. federal, state, local, and private. • Economic principles, such as balancing benefits and costs. • Resource allocation mechanisms, such as grants, in-kind services, loans, or user fees • “Tools of government,” e.g., mandates or incentives to spur action. • Importance of fiscal discipline. • Linkage to other resource documents, e.g. federal budget. • Risk management principles.
Organizational roles, responsibilities, and coordination	Addresses who will be implementing the strategy, what their roles will be compared to others, and mechanisms for them to coordinate their efforts.	<ul style="list-style-type: none"> • Roles and responsibilities of specific federal agencies, departments, or offices. • Roles and responsibilities of state, local, private, and international sectors. • Lead, support, and partner roles and responsibilities. • Accountability and oversight framework. • Potential changes to current organizational structure. • Specific processes for coordination and collaboration.

Integration and implementation	Addresses how a (national) strategy relates to other strategies goals, objectives, and activities-and to subordinate levels of government and their plans to implement the strategy.	<ul style="list-style-type: none"> • How conflicts will be resolved. • Integration with other (national) strategies (horizontal). • Integration with relevant documents from implementing organizations (vertical). • Details on specific federal, state, local, or private strategies and plans. • Implementation guidance. • Details on subordinate strategies and plans for implementation, e.g., human capital, and enterprise architecture.
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Note: This table was adopted directly from GAO Report GAO-04-408T, page 30-31.

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